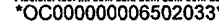


UNITED STATES PATENT AND TRADEMARK OFFICE

#4

APPROVAL
WILSON, GUYTON NUMBER
GOODRICH & ROSAT
09/903,051

FORMALITIES LETTER



Date Mailed: 08/31/2001

FILED UNDER 37 CFR 1.53(b)

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

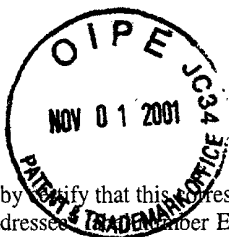
A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

WSGR PATENT DOCKET
U.S.: ☒ FOREIGN: ☐
DOCKETED: 11/10/01 BY: D.P.
ACTION: US MSG NG PARTS
DUE DATES: Due: 10/31/01
Final: 2/28/02
ATTY: P.D. C/M #: 24459-702

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09054-1034



12-04-01

SECRET

I hereby certify that this correspondence is being deposited in an envelope with the U.S. Postal Service "Express Mail Post Office to Addressee" number EF 279208005US and addressed to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202, on:

Date:

11/30/01

By:

Valerie Jones

Docket No. 37498-8001.US01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

C. John Wherry and Frederick L.A. Grauer

EXAMINER: Unknown

SERIAL No.: 09/903,051

ART UNIT: 2161

FILED: July 10, 2001

FOR: A METHOD AND SYSTEM FOR
INVESTMENT INTEGRATION

Response to Notice to File Missing Parts of Application

Box Missing Parts
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Sir:

1. In response to the Notice to File Missing Parts mailed 08/31/2001 (copy enclosed), applicant submits the following:
- ☒ A Petition for One-Month Extension of Time
 - ☒ An Executed Declaration of Inventorship
 - ☒ A Power of Attorney by Assignee
 - ☒ Substitute Drawings 1-19
 - ☐ An Information Disclosure Statement, Form 1449, and references (if appropriate)
 - ☐ A Sequence Listing printout, floppy diskette, Matching Declaration under 37 CFR §1.821, and copy* of Sequence Listing Notice
 - ☒ a copy of an assignment recordation cover sheet **for informational purposes only** (Form PTOL-1595) for assignment(s) being filed separately.

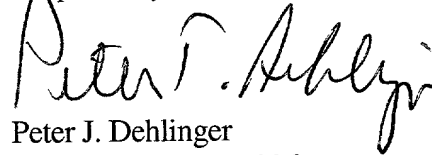
2. Conditional Petition for Extension of Time

Applicant petitions for an Extension of Time if necessary for timely filing of this Response.

3. Fee Payment

- ☒ Applicant claims small entity status. See 37 CFR §1.27
- ☒ Please charge \$120.00 in payment for the surcharge for late filing of declaration or oath, and the 1-month extension fee to Deposit Account No. 50-0665; this paper is provided in triplicate.
- ☒ Please charge any underpayment for timely filing of this Response to Deposit Account No. 50-0665.

Respectfully submitted,



Peter J. Dehlinger
Registration No. 28006

Date: 11-30-01

Correspondence Address:

Customer No. 22918
Phone: (650) 838-4300